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**Localized Synthesis of Silicon Nanocrystals in Silicon-rich SiO<sub>2</sub> by CO<sub>2</sub> Laser Annealing**

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**Abstract**

The optical properties of a SiO<sub>x</sub> film rapid-thermal-annealed (RTA) by CO<sub>2</sub> laser are primarily investigated. The micro-photoluminescence (μ-PL) and HRTEM analysis indicate that the precipitation of random-oriented Si nanocrystals can be initiated when laser intensity ( $P_{laser}$ ) larger than 4.5 kW/cm<sup>2</sup>. At  $P_{laser}$  of 6 kW/cm<sup>2</sup>, the Si nanocrystals exhibits a largest diameter of 8 nm and a highest density of  $4.5 \times 10^{16}$  cm<sup>-3</sup>, which emits strong PL at 790-825 nm. The micro-photorefectance of the CO<sub>2</sub> laser RTA SiO<sub>x</sub> film reveals a volume-density-product dependent refractive index increasing from 1.57 to 1.87 as the  $P_{laser}$  increases from 1.5 to 7.5 kW/cm<sup>2</sup>. Nonetheless, the laser ablation of SiO<sub>x</sub> film occurs with a linear ablation slope of 35 nm/kW/cm<sup>2</sup> at beyond 7.5 kW/cm<sup>2</sup>, which terminates the enlargement of Si nanocrystals, degrades the near-infrared PL, and slightly reduces the refractive index of the CO<sub>2</sub> laser RTA SiO<sub>x</sub> film.

**Index Terms**— CO<sub>2</sub> Laser annealing, Si nanocrystal, SiO<sub>x</sub>, Nanotechnology, micro-photoluminescence.

**I. Introduction**

CO<sub>2</sub> laser based zone annealing (or zone drawing) technique has previously emerged to modify the morphology or structural properties of different materials including polymers [1,

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2], metallic thin films [3-5], and superconductors [6], and dielectrics [7] etc. Particularly, such a laser heating process was also found to initiate the re-crystallization and sintering of ceramic powders [8], or to enhance the surface crystallinity and the specific phase of an optical nonlinear crystal (beta-BBO) [9]. Optical microscopy has shown that the crystallite surface exhibits same morphology as those observed after traditional furnace processing, however, the effect of CO<sub>2</sub> laser annealing on the growth rate and the crystallite size is more pronounced. Not long ago, the CO<sub>2</sub> laser annealing was primarily employed to improve the properties of a liquid-phase deposited, fluorinated silicon oxide film, which helps to concentrate the fluorinated silicon oxide film and reduce the effective surface charge density caused by surface defect states [7]. Nonetheless, the CO<sub>2</sub> laser annealing induced modifications are intensity (Plaser) dependent and usually becomes prominent at Plaser >10 kW/cm<sup>2</sup>. Recently, the high-temperature (>1000°C) furnace annealing is employed to precipitate the Si nanocrystals in SiO<sub>2</sub> film [10]. However, such a high-temperature heat treatment could seriously damages the whole integrated circuits (ICs) on the same Si wafer, which constrains the monolithic integration of the Si nanocrystal doped SiO<sub>x</sub> layer with the Si based ICs. Owing to the large absorption coefficient as high as  $1.2 \times 10^3 \text{ cm}^{-1}$  of the oxide material at wavelength of 10.6  $\mu\text{m}$ , a CO<sub>2</sub> laser annealing of SiO<sub>x</sub> film on quartz substrate is investigated for the first time. In this letter, the optical properties and the size/density of localized precipitated Si nanocrystals embedded in the CO<sub>2</sub>-laser rapid-thermal-annealed (RTA) SiO<sub>x</sub> film are analyzed by high resolution transmission electron microscopy (HRTEM), micro-photoluminescence ( $\mu\text{-PL}$ ) and micro-photorefectance ( $\mu\text{-PR}$ ).

## II. Experimental

The 280-nm thick SiO<sub>x</sub> films were deposited on both-side polished quartz substrates by using high-density plasma enhanced chemical vapor deposition (PECVD) with a gas mixture of SiH<sub>4</sub> and N<sub>2</sub>O. The substrate-temperature was kept at 150 °C for 15 min to balance the temperature of the quartz substrate before deposition. The fluence ratio of SiH<sub>4</sub> to N<sub>2</sub>O, the rf power and the reaction gas pressure were 1:6, 50 W and 120 mTorr, respectively. Afterwards, the CO<sub>2</sub> laser RTA was performed in atmosphere using a CW CO<sub>2</sub> laser (LTT Corp., ILS-II with a maximum power of 30 W) with  $P_{\text{laser}}$  ranging from 1.5 to 13.5 kW/cm<sup>2</sup>. The laser spot was focused within 0.2 mm<sup>2</sup> using a hemispherical lens. The CO<sub>2</sub> laser illuminating time was as short as 1 ms. The ablation thickness of SiO<sub>x</sub> film was measured

by  $\alpha$ -step with a resolution of 1 nm. The  $\mu$ -PL (or  $\mu$ -PR) of CO<sub>2</sub> laser RTA SiO<sub>x</sub> pumped by a HeCd laser at 5 W/cm<sup>2</sup> and 325 nm was detected by a fluorescence spectrophotometer (Jobin Yvon, TRIAX-320). The  $\mu$ -PR analysis is demonstrated using a similar system with a HeNe laser at wavelength and power of 632.8 nm and 2 mW, respectively. A HRTEM (JEOL, 4000EX TEM) with a point-to-point resolution of 0.17 nm was used to characterize the orientation, lattice constant, size and density of the precipitated Si nanocrystals in SiO<sub>x</sub> film.

### III. Results and Discussions

#### III-1. Surface Temperature Evaluation

The surface temperature ( $T_{surface}$ ) of the SiO<sub>x</sub> film under CO<sub>2</sub> laser RTA process was determined using a previously developed thermal-physical model [11-13]. Neglecting the heat transport due to convection, the thermal radiation and thermal expansion, the absorbed thermal energy per unit volume and per unit time of the SiO<sub>x</sub> film annealed using a CO<sub>2</sub> laser with a Gaussian-like power envelope can be described as  $g_{laser}(r, z) = 4P_{laser}(1-R)\exp(-4r^2/D^2)\exp(-\alpha z)/\pi D^2 d_{absorb}$  [11], where  $P_{laser}$  is the illuminating intensity of the CO<sub>2</sub> laser,  $R$  is the optical reflectivity of  $R=[(n-1)^2+k^2]/[(n+1)^2+k^2]$ ,  $r$  is the distance to the center of the focused laser spot,  $D$  is the beam diameter at 1/e intensity of the Gaussian distribution,  $\alpha$  is the optical absorption coefficient of the SiO<sub>x</sub> film, ( $\alpha=4\pi k/\lambda$ ),  $\lambda$  is the laser wavelength,  $d_{absorb}$  is the penetrating depth of the CO<sub>2</sub> laser. The real ( $n$ ) and imaginary ( $k$ ) parts of the refractive index of the SiO<sub>x</sub> film at the wavelength of 10.6  $\mu$ m in the room temperature are approximately 2.224 and 0.102, respectively. As a result, the temperature  $T(r, z)$  and surface temperature  $T_{surface}$  of the SiO<sub>x</sub> film are expressed by the following equations [11, 12]:

$$T(r, z) = \frac{g_{Laser}(r, z) \tau}{\rho C_p} = \frac{4(1-R)}{\rho C_p} \times \frac{P_{Laser} \tau}{\pi D^2 d_{absorb}} \times \exp\left(\frac{-4r^2}{D^2}\right) \times \exp(-\alpha |z|) \quad (1)$$

$$T_{surface}(r) = \frac{4(1-R)}{\rho C_p} \times \frac{P_{Laser} \tau}{\pi D^2 d_{absorb}} \times \exp\left(\frac{-4r^2}{D^2}\right) \quad (2)$$

$$\frac{\partial T_{surface}(r)}{\partial r} = \left(\frac{-4r^2}{D^2}\right) \times \frac{4(1-R)}{\rho C_p} \times \frac{P_{Laser} \tau}{\pi D^2 d_{absorb}} \times \exp\left(\frac{-4r^2}{D^2}\right), r \geq 0 \quad (3)$$

where  $\tau$ ,  $\rho$  and  $C_p$  are the illuminating time, the density and the specific heat of the SiO<sub>x</sub> film, respectively. The optical absorption coefficient ( $\alpha$ ), the optical reflectivity ( $R$ ), the Gaussian beam diameter at 1/e intensity ( $D$ ), the radial distance ( $r$ ), the illumination time ( $\tau$ ), the density ( $\rho$ ), and the specific heat ( $C_p$ ) of the SiO<sub>x</sub> film are set as 1209 cm<sup>-1</sup>, 0.145, 370  $\mu$ m,

21  $\mu\text{m}$ , 1 ms, 2800  $\text{kg}/\text{m}^3$  and 1270  $\text{J}/\text{kg}/\text{K}$ , respectively. According to these parameters, the simulated  $T_{\text{surface}}$  of the  $\text{SiO}_x$  film can be increasing from 130  $^\circ\text{C}$  and 3350  $^\circ\text{C}$  as the  $\text{CO}_2$  laser  $P_{\text{laser}}$  enlarges from 1.5 to 13.5  $\text{kW}/\text{cm}^2$ . Therefore, the  $T_{\text{surface}}$  of the  $\text{SiO}_x$  film proportional to the  $\text{CO}_2$  laser  $P_{\text{laser}}$  is estimated from Eq. (2). For example, the  $\text{SiO}_x$  surface temperature profile around the annealed zone under illuminating with the  $P_{\text{laser}}$  of 6  $\text{kW}/\text{cm}^2$  is shown in Fig. 1. The surface temperature at the central part of a Gaussian-beam illuminated zone is about 1349 $^\circ\text{C}$ . The temperature gradient around the annealed zone of the  $\text{SiO}_x$  film is also plotted in Fig. 1. Within an illuminating spot of 400 $\mu\text{m}$  diameter, the maximum temperature gradient is only 4.5  $^\circ\text{C}/\mu\text{m}$ .

### III-2. HRTEM Analysis

As a result, the simulated  $T_{\text{surface}}$  of the  $\text{SiO}_x$  film can be increasing from 130  $^\circ\text{C}$  and 3350  $^\circ\text{C}$  as the  $\text{CO}_2$  laser  $P_{\text{laser}}$  enlarges from 1.5 to 13.5  $\text{kW}/\text{cm}^2$ . At  $P_{\text{laser}} = 5.8 \text{ kW}/\text{cm}^2$  (or  $T_{\text{surface}} = 1285 \text{ }^\circ\text{C}$ ), the cross-sectional HRTEM image reveals that the diameters of Si nanocrystals precipitated in the  $\text{SiO}_x$  matrix are ranging from 3 nm to 8 nm, as shown in Fig. 2. The orientation of Si nanocrystals embedded in the  $\text{SiO}_x$  film is random, including the (111)-orientation with a lattice spacing of about 0.32 nm, as shown in the inset of Fig. 2. The HRTEM estimated density of the Si nanocrystals in the  $\text{CO}_2$  laser RTA  $\text{SiO}_x$  film at  $P_{\text{laser}} = 5.8 \text{ kW}/\text{cm}^2$  is about  $4.5 \times 10^{16} \text{ cm}^{-3}$ . Similar laser re-crystallization was previously demonstrated by using a tightly focused continuous-wave  $\text{Ar}^+$  laser ( $\lambda = 514.5 \text{ nm}$ ) [14], which helps to synthesize Si nanocrystals in the hydrogenated amorphous  $\text{SiO}_x$  (a- $\text{SiO}_x\text{:H}$ ) film. It was found that the diameter of the Si nanocrystals increases from 2.5 to 12 nm under an extremely high  $P_{\text{laser}}$  of ranging from 600  $\text{kW}/\text{cm}^2$  to 2.6  $\text{MW}/\text{cm}^2$ . However, the surface damage of the a- $\text{SiO}_x\text{:H}$  film was also evidenced at such high intensities even with a short irradiating time. A latter experiment showed similar results by using a frequency-tripled Nd:YAG laser at wavelength and pulsewidth of 355 nm and 8 ns, respectively [15]. By increasing the peak energy density of Nd:YAG laser up to 350  $\text{mJ}/\text{cm}^2$ , the size of Si nanocrystals can be enlarged to 200 nm. Such a process exhibits a similar surface damage problem since the peak  $P_{\text{laser}}$  of 4.4  $\text{MW}/\text{cm}^2$  on the sample surface is far beyond the ablation threshold. Gallas *et al.* [16] then observed that the threshold energy density of a 248 nm-KrF pulsed excimer laser for annealing  $\text{SiO}_x$  without any ablation is only 85  $\text{mJ}/\text{cm}^2$ . Nonetheless, only a few Si nanocrystals can be precipitated in  $\text{SiO}_x$  under such low  $P_{\text{laser}}$ , since few laser energies are absorbed and transferred to heat by the  $\text{SiO}_x$  film with infinitely

small absorption coefficient of at such short wavelengths (for example,  $\alpha < 1 \times 10^{-6} \text{ cm}^{-1}$  at  $< 532 \text{ nm}$ ) [13]. In contrast, the  $\text{CO}_2$  laser crystallization can precipitate Si nanocrystals at a  $P_{\text{laser}}$  of at least 2 orders of magnitude smaller than that required for visible or UV lasers, which simultaneously eliminates the laser-ablation induced surface damage effect. The phase separation between Si and oxygen atoms can be initiated when sufficient energy is absorbed by the  $\text{SiO}_x$  film, however, the annealing temperature for the precipitation of Si nanocrystals should be higher than  $900^\circ\text{C}$ . Nesheva *et al.* [17] have observed the formation of amorphous Si nanoparticles in films annealed at  $700^\circ\text{C}$  for 1 h. To format the crystallite Si nanocrystals in  $\text{SiO}_x$  films, a furnace annealing at  $1030^\circ\text{C}$  for 1 h is mandatory, as confirmed by Raman scattering analysis. In addition, Yi *et al.* [18] have also demonstrated that the amorphous Si clusters can be formatted at annealing temperature ranging between  $300$  and  $900^\circ\text{C}$ , but the crystallization of these amorphous Si clusters is only observed by annealing in a nitrogen atmosphere at  $>900^\circ\text{C}$  for 1 h. That is, the annealing temperature of lower than  $<900^\circ\text{C}$  could not activate the crystallization process for the amorphous Si clusters, even if the annealing duration is lengthened. Under  $\text{CO}_2$  laser annealing, the surface temperature of the  $\text{SiO}_x$  film is dependent on the  $\text{CO}_2$  laser intensity, the lower  $\text{CO}_2$  laser intensity will reduce the surface temperature of the  $\text{SiO}_x$  film. Our simulation has also interpreted a threshold annealing intensity of  $4.5 \text{ kW/cm}^2$ , which corresponds to a surface temperature of  $1100^\circ\text{C}$  for initiating the crystallization of the Si nanocrystals. Similarly, the Si nanocrystals are difficult to be precipitated and the size of the Si nanocrystals could not be larger at a lower  $\text{CO}_2$  laser intensity even with longer exposure times.

### III-3. $\mu\text{-PL}$ and $\mu\text{-PR}$ Analyses

Subsequently, the  $\mu\text{-PL}$  and  $\mu\text{-PR}$  are employed to characterize the localized optical properties of the  $\text{CO}_2$  laser RTA  $\text{SiO}_x$  film. The power dependent  $\mu\text{-PL}$  analysis reveals different luminescent features at annealing and ablation regions. The diameter and area of the  $\text{CO}_2$  laser annealed zone are  $500 \text{ }\mu\text{m}$  and  $0.2 \text{ mm}^2$ , respectively. A tightly focused He-Cd laser beam, with a spot size much smaller than that of  $\text{CO}_2$  laser zone, transverse scans across the  $\text{CO}_2$  laser annealed  $\text{SiO}_x$  sample. In the outer area of the Gaussian laser spot, the  $\text{SiO}_x$  matrix is not re-crystallized and the Si nanocrystal is unable to be precipitated, since the  $P_{\text{laser}}$  as well as the equivalent  $T_{\text{surface}}$  is relatively low. A broadband blue-green PL contributed by the radiative defects such as  $\text{E}'_8$  centers [19] at  $520 \text{ nm}$  and the neutral oxygen vacancies centers [20] at  $455 \text{ nm}$  are observed (see Fig. 3). The PL peak red-shifts to  $520$

nm as  $P_{laser}$  slightly increases to 3 kW/cm<sup>2</sup> (equivalent to a surface temperature of 900 °C), indicating a more pronounced activation of the E'<sub>8</sub> defects than the oxygen vacancies (see the inset (b) of Fig. 3). Near the central region of the annealing spot, the precipitation of small-size Si nanocrystals (with a size of 0.8-1 nm) is initialized as the PL has further red-shifted to 600-620 nm at  $P_{laser} = 4.5$  kW/cm<sup>2</sup> (or a corresponding surface temperature of 1100 °C). The average size of Si nanocrystals persistently enlarges as the significant PL at 806 nm with spectral width of 106 nm is obtained at  $P_{laser} = 5.8$  kW/cm<sup>2</sup> (see the inset (d) of Fig. 3). The maximum PL peak wavelength is observed at 825 nm at  $P_{laser} = 7.5$  kW/cm<sup>2</sup>. Nonetheless, the density of Si nanocrystals in SiO<sub>x</sub> also decreases at higher annealing laser intensities as the PL intensity at corresponding wavelength is greatly attenuated by an order of magnitude. The effect of  $P_{laser}$  on the laser ablation of the SiO<sub>x</sub> film clearly shows a linear ablation slope of 35 nm/kW/cm<sup>2</sup> at  $P_{laser}$  beyond ablation threshold (6 kW/cm<sup>2</sup>), as shown in Fig. 4. The corresponding temperature on the SiO<sub>x</sub> surface is up to 1902 °C as  $P_{laser}$  becomes >7.5 kW/cm<sup>2</sup>, which has already exceeded over the melting temperature of fused silica. Moreover, a CO<sub>2</sub> laser annealing process at  $P_{laser} > 7.5$  kW/cm<sup>2</sup> not only anneals the SiO<sub>x</sub> film and precipitates Si nanocrystals locally, but also leads to an increasing of structural damage related PL at 410 nm by at least one order of magnitude. The SiO<sub>x</sub> matrix could be promptly compressed during such a rapid laser ablation procedure, where numerous oxygen dependent defects such as weak-oxygen-bond (O-O) [21], oxygen vacancy and ionized oxygen molecule (O<sub>2</sub><sup>-</sup>) [22, 23] with PL wavelengths at 410-455 nm are generated by the damaged bonds of the SiO<sub>2</sub> matrix (see the inset (f)-(g) of Fig. 3). Such a phenomenon was never observed in furnace annealed SiO<sub>x</sub> film under a similar condition, as the furnace annealing usually causes a gradual recovery on the compressing strain of SiO<sub>2</sub> matrix nearby Si nanocrystals.

The refractive indices of CO<sub>2</sub> laser RTA SiO<sub>x</sub> films measured by  $\mu$ -PR are greatly increasing from 1.57 to 1.87 as  $P_{laser}$  increases from 1.5 to 7.5 kW/cm<sup>2</sup> (lower part of Fig. 5). The as-grown SiO<sub>x</sub> deposited under a N<sub>2</sub>O/SiH<sub>4</sub> flow ratio of 6 exhibits comparable refractive index with that reported by Ueno *et al.* [24]. The decrease in the N<sub>2</sub>O/SiH<sub>4</sub> flow ratio from 7 to 0.2 leads to an increasing refractive index of SiO<sub>x</sub> from 1.48 to 2.1. Such a variation is correlated with the precipitation of Si nanocrystals. At a surface temperature below 600 °C (or  $P_{laser} < 3$  kW/cm<sup>2</sup>), the change in refractive index is less than 0.6 % since the precipitation of Si nanocrystals has not yet been initiated. The refractive index of SiO<sub>x</sub> reaches a maximum of 1.87 as the surface temperature increases to 1300 °C, while the average diameter

of Si nanocrystal is also largest. As an evidence, Parakash *et al.* [25] have previously demonstrated that the enlargement of Si nanocrystals can increase the refractive indices of the furnace-annealed PECVD-grown  $\text{SiO}_x$  film. The density of the Si nanocrystal is also increased under higher annealing temperature and longer annealing time. Similar refractive index was also observed for the Si-ion-implanted  $\text{SiO}_2$  doped by Si nanocrystals with size of 1-3.5 nm [26]. Obviously, the more Si atoms segregate from the  $\text{SiO}_x$  matrix, the higher density of Si nanocrystals with uniform size can be obtained. From  $\mu$ -PL, the precipitation of Si nanocrystals in the  $\text{SiO}_x$  film are initiated at  $P_{\text{laser}} > 4.5 \text{ kW/cm}^2$  (or a corresponding surface temperature of 1100 °C), and the estimated size of Si nanocrystals is increased from 2.8 nm to 6 nm as  $P_{\text{laser}}$  increases from 4.5 to 7.5  $\text{ kW/cm}^2$ , as shown in upper part of Fig. 5. In contrast, the refractive indices of the  $\text{CO}_2$  annealed  $\text{SiO}_x$  films slightly decreases from 1.87 to 1.79 as  $P_{\text{laser}}$  increases from 7.5 to 12  $\text{ kW/cm}^2$ . Further increasing  $P_{\text{laser}}$  not only increases the annealing temperature but also activates the segregation of Si atoms and increases the density of the Si nanocrystal concurrently. In this point of view, it is not appropriate to attribute the change in refractive index of  $\text{SiO}_x$  film only by the size variation of Si nanocrystals. From TEM analysis, it is observed that both the size of the Si nanocrystal is decreased when annealing the  $\text{SiO}_x$  films at  $P_{\text{laser}} > 7.5 \text{ kW/cm}^2$  due to the re-oxidation of the Si nanocrystals. Moreover, the dramatically decreasing intensity of PL emitting from the Si nanocrystals also at higher annealing laser intensities corroborates well with a significant reduction in the density of the Si nanocrystals. This eventually results in an slightly decreasing value of the volume-density product for Si nanocrystals buried in the  $\text{SiO}_x$ , which evidently elucidate the effect of size and density of Si nanocrystals on the variation in refractive index or absorption coefficient of  $\text{SiO}_x$  films according to Mie theory [27]. Nonetheless, the effect of the dense oxygen dependent defects on the aforementioned optical constants should also take into account.

#### IV. Achievements and Conclusions

The structural and optical properties of the PECVD-grown Si-rich  $\text{SiO}_x$  film RTA by  $\text{CO}_2$  laser are primarily characterized by using  $\mu$ -PL,  $\mu$ -PR and HRTEM in this work. The  $\text{CO}_2$  laser RTA performs the *in-situ* and localized temperature control of the  $\text{SiO}_x$  film, which thus facilitates precipitating Si nanocrystals from damaging the nearby devices. The equivalent temperature of the  $\text{SiO}_x$  surface is increasing from 130 °C to 3350 °C as the  $\text{CO}_2$  laser  $P_{\text{laser}}$  enlarges from 1.5 to 13.5  $\text{ kW/cm}^2$ . The Si nanocrystals with maximum diameter and density



of 8 nm and  $4.5 \times 10^{16} \text{ cm}^{-3}$ , respectively, can be locally precipitated within the CO<sub>2</sub>-laser RTA SiO<sub>x</sub> film, giving rise to a near-infrared PL at 790-806 nm. These are obtained at just below ablation-threshold intensity ( $6 \text{ kW/cm}^2$ ), which is at least 2 orders of magnitude smaller than that required for visible or UV lasers. The power dependent  $\mu$ -PL analysis indicates that the precipitation of small-size Si nanocrystals is initialized when  $P_{\text{laser}} > 4.5 \text{ kW/cm}^2$  and a maximum PL peak wavelength of 825 nm can be observed at  $P_{\text{laser}} = 7.5 \text{ kW/cm}^2$ . Nonetheless, the SiO<sub>x</sub> film is ablated with a linear ablation slope of  $35 \text{ nm/kW/cm}^2$  at beyond threshold  $P_{\text{laser}}$  of  $6 \text{ kW/cm}^2$ . The  $\mu$ -PR results indicate that the refractive index of the CO<sub>2</sub> laser RTA SiO<sub>x</sub> film varies from 1.57 to 1.87 as the  $P_{\text{laser}}$  increases from 1.5 to  $7.5 \text{ kW/cm}^2$ . At the  $P_{\text{laser}} < 3 \text{ kW/cm}^2$ , the change in refractive index is less than 0.6 % since the precipitation of Si nanocrystals has not yet been initiated. The refractive index of SiO<sub>x</sub> reaches maximum as the surface temperature increases to 1285 °C, while the average diameter of Si nanocrystal is also the largest. Annealing at higher intensities not only damages the SiO<sub>x</sub> structure, but also constrains the precipitation and Si nanocrystals and decreases the refractive index of the SiO<sub>x</sub>. This eventually degrades the near-infrared PL and reduces the refractive index of the CO<sub>2</sub> laser RTA SiO<sub>x</sub> film. With the support from US Air Force, three papers have been accepted to be published in international journals, and several papers were present in top international conferences, including on invited talk, as listed below.

#### **Invited Talks:**

- [1] Gong-Ru Lin, “White-light and near-infrared electroluminescence of furnace or CO<sub>2</sub> laser annealed Si-rich SiO<sub>2</sub> with structural defects and Si nanocrystals”, *2006 SPIE Symposium on Photonics Europe (PE 2006)*, paper 6195-32, Strasbourg, France, April 3-6, 2006.
- [2] Gong-Ru Lin, “Retrospect on the Research of Silicon Nanocrystal Embedded Silicon Oxide Materials and Light-Emitting Devices in NCTU/IEO”, *3rd Symposium on Nanophotonics Science and Technology*, Hualian, Taiwan, September 13-17, 2005.

#### **Journal papers:**

- [1] Gong-Ru Lin, Chun-Jung Lin, Yu-Lun Chueh, and Li-Jen Chou, “Localized CO<sub>2</sub> Laser Annealing Induced Dehydrogenation/Ablation and Optical Refinement of Si-Rich SiO<sub>x</sub> Film with Embedded Si Nanocrystals”, *Journal of Nanoscience and Nanotechnology*, in press, August 2006.
- [2] Gong-Ru Lin and C.-J. Lin, “Micro Photoluminescence and Photorefectence Analyses of

CO<sub>2</sub> Laser Rapid-Thermal-Annealed SiO<sub>x</sub> Surface”, *IEEE Transactions on Nanotechnology*, in press, August 2006.

- [3] Chun-Jung Lin, Gong-Ru Lin, Yu-Lun Chueh, and Li-Jen Chou, “Analysis of Silicon Nanocrystals in Silicon-rich SiO<sub>2</sub> Synthesized by CO<sub>2</sub> Laser Annealing”, *Electrochemical and Solid-State Letters*, Vol. 8, No. 12, pp. D43-D45, December 2005.

#### **Conference Papers:**

- [1] Chun-Jung Lin, Gong-Ru Lin, Yu-Lun Chueh, and Li-Jen Chou, “Anomalous Absorption of Silicon Nanocrystals in Silicon-rich SiO<sub>1.25</sub> Matrix Precipitated by CO<sub>2</sub> Laser Annealing”, *2006 Integrated Photonics Research and Applications (IPRA) and Nanophotonics (NANO) Topical Meeting*, Oral paper Nanomaterials NThC4, Uncasville, Connecticut USA, April 24-28, 2006.
- [2] Gong-Ru Lin, “White-light and near-infrared electroluminescence of furnace or CO<sub>2</sub> laser annealed Si-rich SiO<sub>2</sub> with structural defects and Si nanocrystals”, *2006 SPIE Symposium on Photonics Europe (PE 2006)*, paper 6195-32, Strasbourg, France, April 3-6, 2006.
- [3] Chun-Jung Lin, Hao-Chung Kuo, and Gong-Ru Lin, “Analysis of silicon nanocrystals in silicon-rich SiO<sub>2</sub> synthesized by CO<sub>2</sub> laser annealing”, *2005 Asia-Pacific Optical and Wireless Communications Conference and Exhibition (APOC 2005)*, oral paper 6020-72, Shanghai China, November 6-10, 2005.

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## VII. Figure Captions

- Fig. 1. Surface temperature and temperature gradient in the annealing zone of  $\text{SiO}_x$  illuminated by  $\text{CO}_2$  laser at  $P_{\text{laser}} = 6 \text{ kW/cm}^2$
- Fig. 2. HRTEM cross-sectional image of the laser RTA  $\text{SiO}_x$  film by  $\text{CO}_2$  laser at  $P_{\text{laser}} = 5.8 \text{ kW/cm}^2$ .
- Fig. 3.  $\mu$ -PL spectra of  $\text{CO}_2$  laser annealed  $\text{SiO}_x$  at different site of the annealed spot area.
- Fig. 4. Laser ablated depth and normalized PL intensity of the laser RTA  $\text{SiO}_x$  film as a function of  $P_{\text{laser}}$ .
- Fig. 5. The size of Si nanocrystal (upper part) and the refractive index of  $\text{CO}_2$  laser RTA  $\text{SiO}_x$  film (lower part) at different laser intensities.

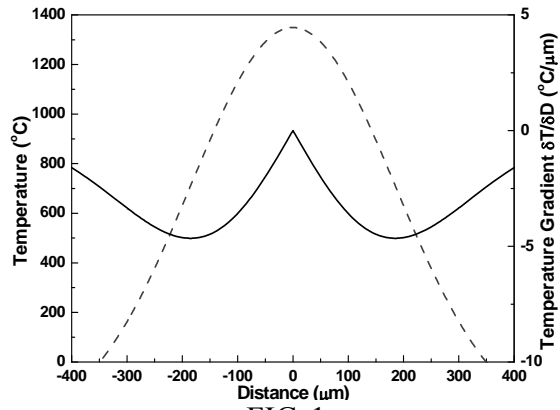


FIG. 1

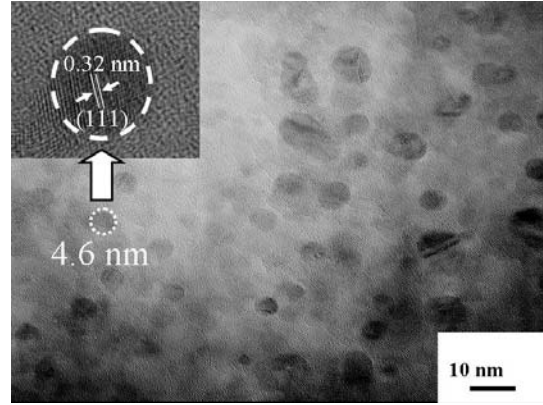


FIG. 2

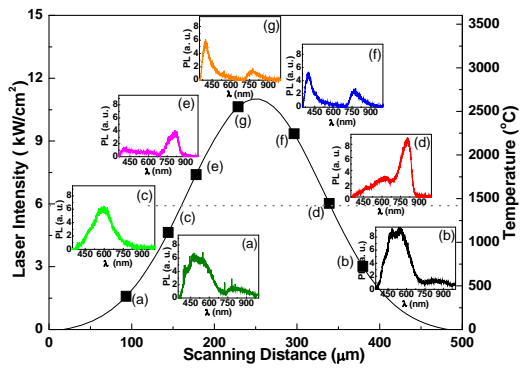


FIG. 3

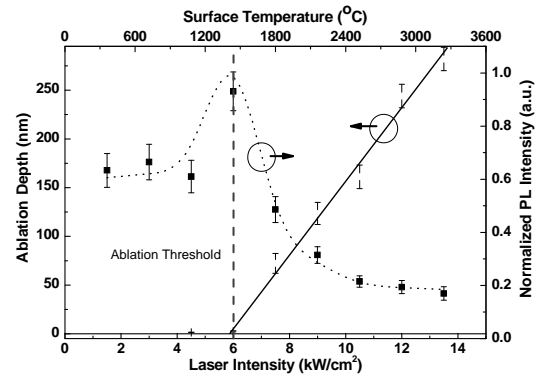


FIG. 4

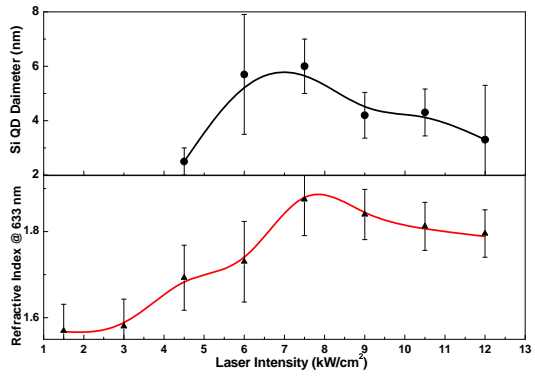


FIG. 5